



**Office of Enterprise Compliance Report - Matrix  
November 2007**

**Attachment A**

	<b>DATE OF ASSIGNMENT</b>	<b>STATUS</b>
1. Personnel Update	Ongoing	Compliance for CAM Health, Assistant Division Chief, and CAM Investments.
2. Program Activities	Ongoing	<p>In October, CalPERS hosted the "The Council of Compliance Officers" conference. Compliance officers from twelve states and a Canadian province were in attendance. All attendees represented pension systems.</p> <p>Presentation of CalPERS "Working Values" at New Employee Orientations. CCO Assistant Division Chief conducted one session of New Employee Orientation this month.</p> <p>CCO presented "How to Mitigate Risk through a partnership with Audits and Compliance" to the International Association of College and University Auditors.</p> <p>CCO participated on a panel discussion of investment compliance risks at the Public Pension Financial Forum.</p>
3. Reporting Non-Compliance Issues	Ongoing	Ongoing.
4. Enterprise Compliance Risk Assessment	Ongoing	Analysis and executive level summary of division's compliance self-assessments being performed by ECOM.



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5. Compliance Area Manager- Investments	Ongoing	<p>Compliance Area Manager (CAM), Investments is monitoring daily and providing weekly summary of compliance alerts to CCO. User access to automated systems monitored and monthly reconciliation reports reviewed. Processes for compliance monitoring are being developed, documented, reviewed, revised, and discussed with investment staff.</p> <p>CAM provided compliance review of draft revisions to investment policy as part of the Investment Office Policy Consolidation Project.</p> <p>CAM demonstrated an example of trading platform and compliance monitoring at Fall CCO conference.</p> <p>CAM attended the National Society of Compliance Professionals National Membership Meeting.</p>
6. Compliance Area Manager-Health	Ongoing	<p>Work with Health business line to assess risk of non-compliance with policies, rules, and regulations to determine compliance exposures and impact to CalPERS.</p> <p>Assistant Division Chief conducted interviews with Health Benefit Branch management for CAM Health.</p>



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7. Compliance Area Manager- Pension	Completed	Work with Pension business line to assess risk of policies, rules, and regulations to determine compliance exposures and impact to CalPERS for non-compliance.
	Ongoing	<p>Processes for pension monitoring are being reviewed to develop, document and review with pension staff.</p> <p>CAM, Pension facilitated table topic discussion at CCO conference. Topics discussed included Internal Revenue Code and the 2006 Pension Protection Act.</p> <p>CAM, Pension attended "The Society of Corporate Compliance and Ethics" conference.</p>